

NIH POLICY MANUAL

54805 - RESEARCH GRANTS AWARDED TO NON-AFFILIATED INDIVIDUALS

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A. Purpose:

This issuance sets forth the policy which applies to research grants awarded to non-affiliated individuals as grantees rather than to an institution or organization.

B. Applicability:

This policy is applicable to NIH research project grants.

C. References:

1. NIH Manual Chapter 4209, Cost Sharing in Research Grants
2. NIH Manual Chapter 5202, Prior Approval of Use of NIH Grant Funds Including Rebudgeting
3. NIH Manual Chapter 5602, Management of and Accountability for Equipment Acquired Under NIH Grants

D. Policy:

In exceptional cases, a research project grant may be made to a non-affiliated individual in the United States rather than to an institution or organization. In such cases, special administrative features pertain (see E. Implementation below).

E. Implementation:

1. Allowances and Expenditures

No indirect cost allowance will be provided to individuals as grantees; nor may they use grant funds for alterations or renovations, or for the purchase of fixed equipment. Otherwise, the expenditures policies applicable to research grants made to grantee institutions and organizations are applicable to grants made to individuals.

2. Human and Animal Subject Research

In accordance with Department of Health and Human Services Regulations, 45 CFR 46, and the Public Health Service Animal Welfare Policy, 1-43, no individual may receive NIH grant funds for non-exempt human subjects research

or animal research unless the individual is affiliated with or sponsored by an institution which assumes responsibility for the research under a written Assurance of Compliance or the individual makes other arrangements with the Department. For information concerning human subjects and/or animal assurances and related arrangements, contact the Office for Protection From Research Risks, Building 31, Room 4B09. Telephone: 496-7005.

3. *Cost Sharing*

The non-payment of indirect costs on grants to individuals satisfies cost sharing requirements.

4. *Equipment*

Title to equipment acquired by an individual as a grantee shall vest upon acquisition in the Federal Government with final disposition to be determined by the awarding unit upon termination of the project.

5. *Payment of Grants Funds*

Individuals as grantees may obtain an advance of funds on a monthly basis in the amount of estimated disbursements to be made during a month, or on a reimbursable basis, by writing a letter identifying their grant number and cash requirements to:

Accounting and Indirect Cost Section
Federal Assistance Accounting Branch
Division of Financial Management
National Institutes of Health
Building 31, Room B1B04
9000 Rockville Pike
Bethesda, Maryland 20205

6. *Prior Approval*

Authority Individuals as grantees must obtain prior approval from the Grants Management Officer of the NIH awarding unit for all proposed programmatic changes and rebudgeting actions for which prior approval is required.

7. *Reporting*

The individual as a grantee has the same reporting requirements as a grantee institution or organization.

F. Responsibility:

Although the individual is held entirely responsible for the grant, personal indemnity bonds are not required. The awarding unit Grants Management Officer and designated program official are jointly responsible for regular contact with the grantee individual to ensure that the terms of the grant are being met.

G. Effective Date:

This policy is effective on date of release.

H. Additional Information:

For further information on this chapter contact the Grants Policy Office, Office of Extramural Research and Training, Building 31, Room 1B58. Telephone: 301-496-5967.

I. Additional Copies:

For copies of this manual chapter send a Form NIH 414-5, "Request for Manual Chapter" to the Printing and Reproduction Branch (P&RB), DAS, Building 31, Room B3BE07.